



# **Kentucky Adult Education Policy and Procedure Manual**

**July 2006**

Revised October 1, 2006    [Assessment Policy](#)  
[Professional Development Policy](#)

**Kentucky Adult Education  
Council on Postsecondary Education  
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502-573-5114**



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## Introduction

This manual contains policies and procedures of Kentucky Adult Education (KYAE), a unit of the [Council on Postsecondary Education](#) (CPE).

KYAE is charged by the Kentucky Adult Education Act of 2000 and the Adult Education and Family Literacy Act, Title II of the Workforce Investment Act, to improve the educational status of adult Kentuckians who do not have a high school diploma, who function at low levels of literacy or who want to learn the English language.

Every county is served by an adult education provider that offers, at a minimum, adult literacy and basic education, GED preparation and family literacy. The instruction may also include life skills, employability skills and computer literacy. Providers may also offer English as a second language and workforce education. Adult education programs in counties with full-service jails provide corrections education as recommended by the Kentucky Department of Corrections.

KYAE sets annual enrollment goals for core services, family literacy and corrections education. Enrollment goals for core services and family literacy are based on a percentage of the county's population at Literacy Levels 1 and 2 as determined by the Kentucky Adult Literacy Survey. Corrections education goals are based on jail bed capacity. KYAE negotiates [performance measures](#) with the U.S. Department of Education, Office of Vocational Education, and holds local programs accountable for meeting these measures through the [National Reporting Service](#).

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## Services

County adult education providers shall not charge students or employers for instructional or other services covered by state and federal adult education funds.

Adult education programs shall provide free, direct and comprehensive services to eligible adult students. Every provider shall operate one or more sites in the county to meet the unique learning needs of its residents. Fiscal agents shall provide services only in the counties for which they have contracted.

### CORE SERVICES

Adult literacy, adult basic education and GED preparation for eligible adults are required core services, which are the cornerstone of Kentucky Adult Education. Instruction may also include life skills, employability skills and computer literacy.

Adult education providers are encouraged to provide the following services with basic grant funds:

- **English as a Second Language (ESL)** — ESL instruction assists individuals of limited English proficiency to achieve competence in the English language. KYAE funds may not be used to provide instruction in Spanish.
- **Workforce Education** — In collaboration with employers, workforce education is provided at worksites. Workforce education services include reading, writing, mathematics, GED preparation, workplace English as a second language, instruction leading to the Kentucky Employability Certificate or a Kentucky Manufacturing Skill Standards certificate, communication, critical thinking, team building, problem solving and computer literacy. Local adult education programs and the KYAE workforce associate assigned to their county shall keep each party mutually informed of all workforce activities in that county.

Providers are encouraged to utilize WorkKeys and emphasize preparation for the Kentucky Employability Certificate (KEC) and the Kentucky Manufacturing Skills Standard (KMSS) certificate.

Effort should be made to include an academic component in workforce education projects.

## **FAMILY LITERACY**

Family literacy programs, which are designed to break the intergenerational cycle of under-education by providing opportunities for parents and their children to learn together, are required in every county. Family literacy services shall contain the following integrated components: adult education, parent time, child education and parent and child time.

Adult education providers shall:

- Adhere to the [Kentucky Family Literacy Program Quality Indicators](#) and submit data via AERIN.
- Ensure that programs are of sufficient quality, intensity and duration to make sustainable changes in a family. The four family literacy components shall be addressed each month.

Eligible family literacy participants include at least one child between the ages of birth and 18 years and at least one adult who is responsible for the child's well being and who is consistently an influence on the child's development. The adult student shall meet the eligibility requirements for participation in adult education.

The child education component is to be provided by other local educational agencies. Kentucky Adult Education funds may be used to provide the other three components. Facilities, programs and services shall comply with local, state and federal regulations for serving children.

## **LOCAL CORRECTIONS EDUCATION**

Adult education programs in counties with full-service jails as recommended by the Kentucky Department of Corrections must provide corrections education in these jails unless the jailer states in writing that adult education services are prohibited.

Programs provide adult education instruction in all levels of basic academic skills for students who meet the eligibility requirements for enrollment. The basic skills instruction for correctional facilities may also integrate life skills, employability skills and computer literacy skills. Corrections enrollments are not counted toward the county enrollment goal.

## **WORKFORCE ALLIANCE**

Through the Workforce Alliance, Kentucky Adult Education funds workforce education initiatives. Workforce Alliance grant proposals will be considered for approval individually based on merit and availability of funds. Before delivering services, a signed Memorandum of Agreement shall exist with the grant recipient. Alliance enrollments are not counted toward the county enrollment goal.

**ELIGIBLE PARTICIPANTS**

Through Workforce Alliance state funding, workforce education projects provide services to entry-level, frontline employees of business and industry in Kentucky. Project participants must be individuals who lack sufficient mastery of workforce skills necessary to function successfully as workers.

**ELIGIBLE PROVIDERS**

Eligible providers for Workforce Alliance projects may include local educational agencies, community-based organizations of demonstrated effectiveness, volunteer literacy organizations of demonstrated effectiveness, institutions of higher education, public or private nonprofit agencies, libraries, public housing authorities and consortia of agencies, organizations, institutions, libraries or authorities as described above.

**ELIGIBLE WORKFORCE EDUCATION ACTIVITIES**

Eligible incumbent workforce education activities shall occur only when the employees are compensated for attendance by the employer, pre- and post-assessments are administered, and a final report is submitted to KYAE and the employer.

Potential employees may receive eligible pre-hire training with a commitment from businesses and industries to give hiring consideration to successful completers.

Individuals qualifying for Rapid Response Team services may receive eligible workforce training.

**Required components (one of the four listed below):**

- Academic component (reading, writing, mathematics, ESL)
- Instruction leading to the Kentucky Employability Certificate
- Instruction leading to the Kentucky Manufacturing Skill Standards certificate (academic components only)
- Computer literacy (introduction to the computer, spreadsheets, word processing, e-mail, Internet)

**Optional components:**

- Communication
- Problem solving
- Critical thinking
- Team building

### **ELIGIBLE COSTS**

The following costs are eligible when associated with one of the above training activities:

- Instructor salary
- Instructional preparatory time
- Task analysis
- Assessments
- Curriculum development
- Instructional materials and supplies (not to include computer hardware)
- Administrative costs over 10 percent must have written justification.

### **ELIGIBLE ALLIANCE GRANT DESIGN**

Minimum project size: 10 participants

Minimum instruction hours: 6

Maximum cost per student: \$500

Instruction must begin within two months of contract date.

## **ENGLISH LITERACY/CIVICS**

This program incorporates English literacy and civics education for immigrants and other students with limited English proficiency who are not required to be enrolled in school. To participate effectively in the education, work and civic opportunities of this country, immigrants must not only master English but also be able to understand and navigate governmental, educational and workplace systems and key institutions, such as banking and health care.

The Federal Register (November 17, 1999) defined civics education as “an educational program that emphasizes contextualized instruction on the rights and responsibilities of citizenship, naturalization procedures, civic participation and U.S. history and government to help students acquire the skills and knowledge to become active and informed parents, workers and community members.” The term “English literacy” indicates a program of instruction designed to help individuals of limited English proficiency achieve competence in the English language.

Students in the English literacy/civics program must have limited English proficiency. These are eligible adults who have limited ability in speaking, reading, writing or understanding the English language and whose native language is one other than English or who lives in a family or community environment where a language other than English is the dominant language.

Based on the availability of federal EL/civics funding, grants are made on annual basis through an RFP process determined by KYAE.

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## Eligibility

Pursuant to [Title II of the Workforce Investment Act](#), the Adult Education and Family Literacy Act, eligible students are those individuals who live or work in Kentucky and:

- have attained 16 years of age;
- are not enrolled or required to be enrolled in secondary school under state law; and who
  - lack sufficient mastery of basic educational skills to enable the individual to function effectively in society;
  - do not have a secondary school diploma or its recognized equivalent, or have not achieved an equivalent level of education; or
  - are unable to speak, read or write the English language.

Individuals age 16-18 must provide official documentation of withdrawal from school.

In accordance with Title VI of the Civil Rights Act of 1964, adult education providers shall not discriminate on the basis of gender, race, color, age and/or national origin in its adult education and literacy programs, activities, employment or admission policies and practices.

Individuals with an F-1 Visa (student visa) status are ineligible for services and shall “not be accorded a course of study in a publicly funded adult education program.” [Source: U.S. Immigration and Nationality Act (Sec. 1101a(15)(F)(1)]

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## Enrollment

Individuals shall be officially enrolled after completion of a KYAE-approved assessment (see “Assessment” section) and in compliance with eligibility requirements.

Individuals shall be officially enrolled in family literacy according to the [Family Literacy Program Quality Indicators](#).

Virtual learners must complete a KYAE-approved assessment and meet eligibility requirements prior to accessing online courses.

County adult education programs shall maintain a folder on each student containing enrollment forms, assessment forms, standardized test scores and the student’s educational plan. Student folders must be kept on file for three years.

### SEPARATION

Students shall be separated if the student has not participated in the adult education program for 90 consecutive days. Providers shall establish a local policy to separate students who are not making progress as defined by measurable gains on assessment instruments or objectives outlined in the student education plan.

### RE-ENROLLMENT

Adult educators may re-enroll separated students who reach achievements in the first quarter of the fiscal year following their separation (code 13).

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# Assessment

Revised effective October 1, 2006. See [History of Changes](#).

## OVERVIEW

KYAE's assessment policy provides guidelines pertaining to standardized assessment practices for all KYAE-funded programs and meets the guidance from the U.S. Department of Education, Office of Vocational and Adult Education (OVAE), to describe approved assessments, initial and post-testing requirements, accommodations and training requirements. Adult education providers shall use KYAE's assessment policy in conjunction with publishers' official examiner's manuals and training workshops to determine local assessment procedures. Providers shall follow all guidelines in examiner's manuals and maintain the most current version of the manual for each test used by the program.

## NEED FOR ASSESSMENT POLICY

KYAE's assessment policy provides a framework to measure program effectiveness and provides important criteria for continuous improvement on several levels:

- At the student level, an individual assessment provides valid, reliable information about the student's academic status and progress and allows the student to make informed decisions about goal setting. KYAE requires adult education programs to evaluate students with an approved standardized assessment upon enrollment to determine the appropriate education plan necessary for students to achieve their goals. Before the adult educator determines the most appropriate assessment, students should participate in an intake and orientation process to discuss academic and career goals and identify needed skills to help achieve their goals. This orientation session, accompanied by the adult educator's professional judgment and other criteria, should determine which of the approved assessments and curricula will best meet the student's needs.
- At the program level, accurate assessment data are critical for decision making in planning, instruction, professional development and program improvement. Student assessments help instructors pinpoint student needs and choose appropriate curricula and activities. Aggregate data inform program directors regarding needed improvements and help guide staff professional development.
- At the state and federal level, incentive funding rests, in part, upon student achievement in National Reporting System (NRS) functional levels. Uniform implementation of KYAE's assessment policy ensures that high-quality, accurate data are collected statewide and reported through the federal NRS so programs can be compared across the Commonwealth and nation. Assessment data also are important for setting KYAE's professional development priorities at the state level.

## INITIAL ASSESSMENTS

- As described above, to determine the appropriate assessment to administer, adult educators should talk with students about educational and career goals.
- Providers shall administer a KYAE-approved assessment (see “KYAE-Approved Assessments” section, pp. 13-17) at student orientation or within the first 12 hours of instruction. The lowest test score in a subject area shall be used to determine a student’s entry level. Parts of an assessment, such as reading or math, may be used. The assessment should be in areas in which instruction will be focused to facilitate student goal achievement.
- All initial assessment results must be entered into AERIN.
- Individuals shall be officially enrolled upon completion of an approved assessment and in compliance with eligibility requirements. The program will maintain enrollment forms, assessment forms and the current educational plan on file for three years.
- The hours spent in orientation and assessment shall count toward the student’s total attendance hours.

## POST-ASSESSMENTS

- Interim and post-tests should be routine components of a program’s instructional process.
- Students shall be post-tested after a standard instructional period or according to the instructor’s professional judgment. Test publishers’ recommended timeframes for post-testing as provided by OVAE can be found at the [NRS Web site](#), pp. 6-8, and in the “KYAE-Approved Assessments” section, pp. 13-17.
  - Factors that affect student achievement include intensity, duration and quality of instruction, student motivation, and close alignment of instruction with student goals; therefore, exceptions to test publishers’ recommended timeframes for post-testing may be made on an **individual student basis**.
  - To determine an exception, adult educators should use their professional judgment and the individual student goal.
  - **The basis for determining an exception must be documented with a “[Post-Assessment Exception Form](#)” subject to KYAE monitoring. The original signed form must be filed in the student’s folder; a copy of the form must be filed with the adult education program director.**
- Providers shall use a different form of the same test for the follow-up assessment. For example, a TABE 9 pre-test can be followed with a post-test using TABE 10 as long as it is in the same series. Exceptions are noted in the examiner’s manual.

- All interim and post-test results must be entered into AERIN. If more than one assessment is given, the latest assessment determines educational functioning level completion or advancement.
- Providers shall use the lowest subject area test score to determine a student's progress.
- If no follow-up assessment of the student is made during the program year, the student must be counted as remaining in the same educational level as upon entry and cannot be reported as advancing to a higher functioning level.
- An "advance" or "completion" is recorded if, according to a subsequent assessment, the student has entry-level skills corresponding to one or more levels higher than the incoming level in the areas initially used for placement.
- The GED Official Practice Test (OPT) may not be used as a measure of student progress in instructional programs.

### **ASSESSMENT PROCEDURES**

- As specified in the "KYAE-Approved Assessments" section, pp. 13-17, adult educators must meet all test publisher and KYAE training requirements before administering assessments. Adult educators should consult [PDtrack](#) for scheduled training on assessments.
- Assessment instruments must be kept in a secure environment according to test publisher requirements.
- Assessment instruments shall be administered in a proctored environment and in accordance with test publisher and KYAE assessment guidelines.

### **ASSESSMENT ACCOMMODATIONS**

- Reasonable accommodations for assessment shall be provided to students when:
  - a. The student has disclosed the presence of a disability and has provided documentation by a qualified professional of eligibility for accommodations under the provisions of the Americans with Disabilities Act (ADA)/Section 504.
  - b. The adult education program has administered a screening instrument and determined that accommodations are warranted.
- Accommodated assessments shall be in compliance with accommodated testing guidelines, policies and procedures established by the program's fiscal agent.
- Accommodated assessments shall be in compliance with test publisher guidelines.

## KYAE-APPROVED ASSESSMENTS

### **TABE 9/10 (recommended) TABE 7/8**

- TABE is recommended for adult education, corrections education and family literacy students.
- A student must score 11.9 or below to be eligible.
- KYAE requires at least one adult educator in every county to take “Introduction to TABE” and for all instructors administering the test to be familiar with the McGraw-Hill training video and accompanying workbook on administering the TABE.
- Upon initial enrollment, the TABE Locator(s) Test should be used as one tool to help determine the appropriate level(s) of the TABE assessment to be administered. The Locator should be used in conjunction with any other measures of student performance the instructor may have to determine the appropriate level(s) of the TABE assessment to be administered.
- Recommended Timeframes for Pre- and Post-testing as provided by OVAE ([NRS Web site](#), pp. 6-8):
  - **If the pre- and post-test are for the same level but using a different form (e.g., TABE 9 Level M to TABE 10 level M): 60 hours.**
  - **If the pre- and post-test are for the same level and use the same form (e.g., TABE 9 level M to TABE 9 level M): 120 hours.**
  - CTB/McGraw-Hill suggests the pre- and post-test guidelines as Best Practices recommendations based upon feedback and APA guidelines. The purpose for assessing with TABE will also have an impact on the implementation of these recommendations. CTB discourages random and frequent testing as it will not present valid gain scores and could create a practice effect, thus producing questionable or spurious scores. Instructional intervention between testing periods is strongly recommended to maximize gain. Proper use of the Locator Test as a determinant of appropriate content level testing is also strongly recommended and is an integral part of the testing process.
  - If a test is to be administered as a retest because the initial test session was invalid, there is not a prescribed length of time that needs to occur. However, CTB strongly encourages some instructional time in order to avoid a practice effect.
- See the “Post-Assessments” section, p. 11, for post-assessment exceptions.

#### **TABE ordering information:**

Peggy Levins, CTB/McGraw-Hill Evaluation Consultant  
3134 Bush Drive  
Franklin, TN 37064  
phone: 615 599-6575; email: [peggy\\_levins@ctb.com](mailto:peggy_levins@ctb.com)

CTB/McGraw-Hill  
P.O. Box 150  
Monterey, CA 93942-0150  
Phone: 800-538-9547  
Web Site: [www.ctb.com](http://www.ctb.com)

## Workplace TABE

- Workplace TABE is for use when the student's goals are to get a job, a better job or improve workforce skills.
- A student must score 11.9 or below to be eligible.
- KYAE requires at least one adult educator in every county to take "Introduction to TABE" and for all instructors administering the test to be familiar with the McGraw-Hill training video and accompanying workbook on administering the TABE.
- Recommended Timeframes for Pre- and Post-testing as provided by OVAE ([NRS Web site](#), pp. 6-8):
  - **If the pre- and post-test are for the same level but using a different form (e.g., TABE 9 Level M to TABE 10 level M): 60 hours.**
  - **If the pre- and post-test are for the same level and use the same form (e.g., TABE 9 level M to TABE 9 level M): 120 hours.**
  - CTB/McGraw-Hill suggests the pre- and post-test guidelines as Best Practices recommendations based upon feedback and APA guidelines. The purpose for assessing with TABE will also have an impact on the implementation of these recommendations. CTB discourages random and frequent testing as it will not present valid gain scores and could create a practice effect, thus producing questionable or spurious scores. Instructional intervention between testing periods is strongly recommended to maximize gain. Proper use of the Locator Test as a determinant of appropriate content level testing is also strongly recommended and is an integral part of the testing process.
  - If a test is to be administered as a retest because the initial test session was invalid, there is not a prescribed length of time that needs to occur. However, CTB strongly encourages some instructional time in order to avoid a practice effect.
- See the "Post-Assessments" section, p. 11, for post-assessment exceptions.

### TABE ordering information:

See p. 13.

## WorkKeys

- WorkKeys may be used when the student's goals are to get a job, a better job or improve workforce skills.
- **Adults without a high school diploma** may be initially assessed using WorkKeys and enrolled on this assessment if the student's WorkKeys level crosswalks to one of three NRS levels (High Intermediate Basic Education, Low Adult Secondary Education, High Adult Secondary Education). This assessment should be administered only after an initial intake process indicates the student will score well on the WorkKeys assessment. If the student's WorkKeys level falls below one of these three NRS levels, the student should be assessed on the TABE and enrolled according to TABE results.
- **Adults with a high school diploma** should be assessed with a TABE to determine adult education eligibility (scoring 11.9 or below). If the adult is not eligible, he/she should be referred to KCTCS for a WorkKeys assessment.

- **Adults with a high school diploma and a pre-existing WorkKeys level** that qualifies them for adult education services (one of the three NRS levels) may be enrolled based on the WorkKeys assessment.
- To show level gains, students enrolled on a WorkKeys assessment must be post-tested using WorkKeys.
- When used in a non-collegiate setting, post-testing should be based on a regular course of instruction and/or workforce project.
- Information on how to obtain scale scores for students is available at [scale scores](#).
- Recommended Timeframes for Pre- and Post-testing as issued by OVAE ([NRS Web site](#), pp. 6-8):
  - **We [ACT/WorkKeys] typically recommend that the student be involved in regular instruction that is offered by the institution. This would amount to a semester or quarter course.**
- See the “Post-Assessments” section, p. 11, for post-assessment exceptions.

**WorkKeys ordering information:**

ACT WorkKeys Customer Service – 70  
 2727 Scott Blvd.  
 PO Box 1008  
 Iowa City, IA 52243-1008  
 (319) 337-1550; Web site: [www.act.org/workkeys](http://www.act.org/workkeys)

**BEST Literacy**

**BEST Oral**

**BEST Plus**

- These assessments are to be used for English as a second language students.
- Adult educators must be trained by a certified BEST Plus trainer before administering the BEST Plus assessment.
- Adult educators must be familiar with the training video and examiner’s manual for BEST Literacy and BEST Oral.
- Recommended Timeframes for Pre- and Post-testing as issued by OVAE ([NRS Web site](#), pp. 6-8):
  - **60 hours minimum; 80-100 hours recommended.**
  - If the hours for a course of instruction exceed the recommended number of hours, post-testing may most appropriately take place at the end of the instructional session.
  - Because program-related factors such as intensity of instruction, class size, teacher training and experience, and use of appropriate curricula and materials will affect language learning proficiency gains, programs should consider these factors when determining timing for pre- and post-testing.
- See the “Post-Assessments” section, p. 11, for post-assessment exceptions.

**BEST ordering information:**

Center for Applied Linguistics  
 4646 40<sup>th</sup> Street, NW  
 Washington DC 20016-1859  
 (202) 362-0700; Web site: [www.cal.org](http://www.cal.org)



## CASAS

- CASAS is to be used only for English as a second language students.
- Adult educators must be trained by a certified CASAS trainer before administering these assessments.
- Recommended Timeframes for Pre- and Post-testing as issued by OVAE ([NRS Web site](#), pp. 6-8):
  - **70-100 hours (40 hours is the minimum).**
  - Allow exceptions for courses with different schedules and intensity, e.g., allow more time for courses that meet infrequently or not intensively and for very intensive courses wait longer than the recommended number of hours to post-test.
  - Programs offering high-intensity courses (e.g., class meets more than 15 hours per week) may choose to test at the end of a semester, term, quarter, or other substantial block of instruction, even though the instructional intervention is more than 100 hours of instruction.
  - Programs offering low intensity courses with less than 70 hours in a semester, quarter, term, or other block of instruction, may choose to post-test at the end of the instructional period.
  - Programs may choose to assess students who indicate they are leaving the program before the scheduled post-test time, to maximize collection of paired test data.
- See the "Post-Assessments" section, p. 11, for post-assessment exceptions.

### CASAS ordering information:

CASAS

8910 Clairemont Mesa Blvd.

San Diego, CA 92123-1104

(800) 255-1036

Web site: [www.casas.org](http://www.casas.org)

## OTHER ASSESSMENTS (NOT USED FOR ENROLLMENT)

Providers may offer the Kentucky Manufacturing Skills Standards assessment **only** when an individual's eligibility has been established in accordance with assessment and enrollment policy.

The COMPASS assessment has been crosswalked to the TABE; however, a COMPASS score may not be used for enrollment because COMPASS is not an NRS-approved enrollment assessment. The COMPASS-TABE crosswalk cannot be used for assessment or enrollment purposes. Existing COMPASS scores may be used in the intake process as an unofficial indication of a student's level. COMPASS testing is not an approved assessment for enrollment in Educational Assessments (AERIN code 15) or Workforce Assessments (AERIN code 25).

In addition to the required standardized pre- and post-assessment instruments, programs should continue to use a variety of formal and informal instruments and



procedures to collect valid on-going information regarding student instructional needs and progress. Some examples include:

- Computerized assessments
- End of unit tests from textbooks
- Checklists
- Individual projects or products
- Small group projects
- Educator-made assessments
- Project/products with clearly defined criteria or performance standards
- Dated anecdotal records of teaching observations
- Performance samples, including writing samples, journals, audiotapes of student readings or interviews, worksheets
- Role playing
- Student interviews and self-evaluations

The following assessment instruments and procedures may not be used for determining entry or exit level:

- Official GED Practice Test (OPT)
- GED (General Educational Development) Tests
- TABE Survey Test
- Short form of BEST (Basic English Skills Test) Oral
- Using different assessment instruments for pre- and post-assessment (i.e., CASAS for pre-assessment; TABE for post-assessment)
- Using the same form of CASAS for both pre- and post-assessment
- Professional judgment
- COMPASS

### **NATIONAL REPORTING SYSTEM**

The [National Reporting System](#) (NRS) is the accountability system for the federally funded adult education program, mandated by the [Workforce Investment Act](#) (WIA).

Adult education programs nationwide use NRS levels to provide information to the federal government about student progress. KYAE collects student assessment, demographic and participation data on AERIN to report to the NRS and partners.

## **NRS LEVELS**

To comply with NRS, providers must use the following entry and progress levels.

### **Adult Education Levels**

- **Beginning Literacy (grade level 0-1.9)**
  - TABE (9-10), TABE (7-8) or Workplace TABE  
Test Benchmarks: Reading: 367 and below  
Total Math: 313 and below  
Language: 389 and below
  
- **Beginning Basic Education: (grade level 2-3.9)**
  - TABE (9-10), TABE (7-8) or Workplace TABE  
Test Benchmarks: Reading: 368 - 460  
Total Math: 314 - 441  
Language: 390 - 490
  
- **Low Intermediate Basic Education: (grade level 4-5.9)**
  - TABE (9-10), TABE (7-8) or Workplace TABE  
Test Benchmarks: Reading: 461-517  
Total Math: 442-505  
Language: 491-523
  
- **High Intermediate Basic Education: (grade level 6-8.9)**
  - TABE (9-10), TABE (7-8) or Workplace TABE  
Test Benchmarks: Reading: 518-566  
Total Math: 506-565  
Language: 524-559
  
  - WorkKeys  
Test Benchmarks: Reading for Information: 75-78  
Writing: 75-77  
Applied Mathematics: 75-77

▪ **Low Adult Secondary Education: (grade level 9-10.9)**

- TABE (9-10), TABE (7-8) or Workplace TABE  
Test Benchmarks: Reading: 567-595  
Total Math: 566-594  
Language: 560-585
- WorkKeys  
Test Benchmarks: Reading for Information: 79-81  
Writing: 78-85  
Applied Mathematics: 78-81

▪ **High Adult Secondary Education: (grade level 11-11.9)**

- TABE (9-10), TABE (7-8) or Workplace TABE  
Test Benchmarks: Reading: 596 and above  
Total Math: 595 and above  
Language: 586 and above
- WorkKeys  
Test Benchmarks: Reading for Information: 82-90  
Writing: 86-90  
Applied Mathematics: 82-90

**English as a Second Language Levels**

▪ **Beginning ESL Literacy**

- CASAS  
Test Benchmarks: Reading: 180 and below  
Listening: 180 and below
- BEST Literacy  
Test Benchmarks: 0-7
- Best Oral  
Test Benchmarks: 0-15
- BEST Plus  
Test Benchmarks: 400 and below

- **Low Beginning ESL**
  - CASAS  
Test Benchmarks: Reading: 181-190  
Listening: 181-190  
Writing: 136-145
  - BEST Literacy  
Test Benchmarks: 8-35
  - Best Oral  
Test Benchmarks: 16-28
  - BEST PLUS  
Test Benchmarks: 401-417
  
- **High Beginning ESL**
  - CASAS  
Test Benchmarks: Reading: 191-200  
Listening: 191-200  
Writing: 146-200
  - BEST Literacy  
Test Benchmarks: 36-46
  - Best Oral  
Test Benchmarks: 29-41
  - BEST PLUS  
Test Benchmarks: 418-438
  
- **Low Intermediate ESL**
  - CASAS  
Test Benchmarks: Reading: 201-210  
Listening: 201-210  
Writing: 201-225
  - BEST Literacy  
Test Benchmarks: 47-53
  - Best Oral  
Test Benchmarks: 42-50
  - BEST PLUS  
Test Benchmarks: 439-472

▪ **High Intermediate ESL**

- CASAS  
Test Benchmarks: Reading: 211-220  
Listening: 211-220  
Writing: 226-242
- BEST Literacy  
Test Benchmarks: 54-65
- Best Oral  
Test Benchmarks: 51-57
- BEST PLUS  
Test Benchmarks: 473-506

▪ **Advanced ESL**

- CASAS  
Test Benchmarks: Reading: 221-235  
Listening: 221-235  
Writing: 243-260  
  
Exit Criteria: Reading: 236 and above  
Listening: 236 and above  
Writing: 261 and above
- Best Oral  
Test Benchmarks: 58-64  
  
Exit Criteria: 65 and above
- BEST PLUS  
Test Benchmarks: 507-540  
  
Exit Criteria: 541 and above
- **NOTE: BEST Literacy should not be used for enrollment in this level due to the lack of exit criteria.**

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## GED

### GED TEST READINESS

The GED testing regulation, 785 KAR 1:130 Section 4, requires examinees to be certified as “test ready.” The GED Official Practice Test (OPT) shall be administered under standard conditions as specified in the *Examiner’s Manual*. Approved forms for the practice test are Practice B (PB), Practice C (PC), Practice D (PD) and Practice E (PE). Practice A (PA) should be limited to use as a retest after other forms have been exhausted.

Individuals with a documented disability shall be presented with the same accommodations on the GED OPT as will be necessary for the GED Test. The GED OPT is available in English, French and Spanish.

Test Readiness Certification is verified on the KYAE-6 by the signature, address and the six-digit provider code number of the county adult education supervisor or instructor.

785 KAR 1:130, Section 4(1)(a), requires applicants to achieve the same scores on the OPT as required to pass the GED, a minimum standard score of at least 410 on each sub-test and an average of 450 on the OPT. Applicants may not be certified as “test ready” until all sub-tests have been passed. If an applicant passes the five sub-tests with a minimum standard test score of 410 but does not attain an average standard score of 450, the students shall be eligible to retake one or more sub-tests to raise the overall score. OPT scores must be entered in AERIN.

KYAE adult education providers are designated to administer the OPT and sign the KYAE-6 form. KYAE may approve other public or private non-profit educational entities to administer the OPT and to sign the KYAE-6 form where there is a demonstrated need and sufficient volume of OPTs for an additional OPT provider in a county. Once approved, these agencies shall annually petition KYAE by July 1 to remain a certified entity for the next fiscal year.

### FISCAL ISSUES

Program funds may not be used to pay GED test fees.

Because federal funds may not be used for ceremonies, only state incentive funding may be used for GED recognition ceremonies.

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## Performance and Accountability

The federal [Workforce Investment Act](#) requires a comprehensive performance accountability system to measure the success of adult education programs. KYAE uses the [NRS core and an additional performance indicator](#) (enrollment) for this purpose and holds providers responsible for meeting the indicators. At a minimum, county programs are expected to meet their enrollment goals and at least 50 percent of their performance indicators each fiscal year.

### **PROGRAM REVIEW AND CONTINUOUS IMPROVEMENT**

To assist programs in meeting or exceeding goals, KYAE reviews program data to facilitate continuous improvement to help students meet their goals. KYAE monitors programs through desk and onsite reviews.

Using multiple sources of information, KYAE conducts ongoing desk reviews on all county programs to determine contract compliance. These ongoing desk reviews include analysis of quantitative data that programs submit to KYAE through the AERIN system and information from audits and other sources.

Onsite reviews are conducted in special circumstances. Examples of special circumstances include, but are not limited to, programs with new fiscal agents, programs with special needs, programs that request onsite reviews and programs in Tiers 3, 4 and 5 (see following pages). Before the onsite review, programs may be required to conduct a self-review, which is the foundation for an improvement plan. The onsite review allows KYAE to verify data and look at processes and qualitative information about local programs. Onsite reviews also provide an opportunity for gathering more data and for elaborating on the initial findings of desk reviews as well as discussions with staff related to the performance indicators.

At the beginning of each fiscal year, KYAE reviews each program's final enrollment and performance data and places each program in one of five tiers. County programs with new fiscal agents are not placed in a tier until after the first full fiscal year of operation.

TIER	CRITERIA	ACTION
<b>1 Met Goals</b>	Met 100 percent of enrollment goal <u>and</u> at least 50 percent of performance indicators.	Continue meeting enrollment goal and performance indicators. Program monitors progress through analysis of AERIN data.
<b>2 Progressing</b>	Met at least 90 percent but less than 100 percent of enrollment goal <u>and</u> at least 50 percent of performance indicators.	Program may opt to conduct self-review.  Program monitors progress through analysis of AERIN data.
<b>3 Needs Improvement</b>	Met at least 90 percent of enrollment goal but did not meet at least 50 percent of performance indicators.  OR  Met 50 percent of performance indicators but did not meet at least 90 percent of enrollment goal.	Program conducts self-review and develops program improvement plan upon KYAE request; submits electronically to KYAE for review and comment.  Program may opt to attend program improvement strategies workshops.
<b>4 Pre-probation</b>	Failed to meet 90 percent of enrollment goal and at least 50 percent of performance indicators for one fiscal year.  OR  In Tier 3 for two consecutive fiscal years.	Program conducts self-review upon KYAE request; submits electronically to KYAE.  KYAE staff makes onsite review.  Within two weeks of visit, program submits program improvement plan electronically to KYAE for review and comment.  Program must attend program improvement strategies workshops.  Program monitors progress through analysis of AERIN data.
<b>5 Probation</b>	Failed to meet at least 90 percent of enrollment goal and at least 50 percent of performance indicators for two consecutive fiscal years.	KYAE Leadership notifies fiscal agent of probationary status and meets with fiscal agent.  Program conducts self-review upon KYAE request; submits electronically to KYAE.  KYAE staff makes onsite review.  Within two weeks of visit, program submits program improvement plan electronically to KYAE for review and comment.  Program must attend program improvement strategies workshops.  Program monitors progress through analysis of AERIN data.  KYAE determines continuation of funding.
<b>New Fiscal Agent</b>	Enrollment and performance data assessed at the end of the first fiscal year to determine tier placement for next year.	KYAE provides ongoing assistance and support.



## **TIER 1 – MET GOALS**

To qualify for performance incentive funding, county adult education programs must meet or exceed their enrollment goal for core services and at least 50 percent of the county's performance indicators.

Performance indicators used to determine incentive funding are NRS performance indicators (except for the two employment-related indicators), plus family literacy enrollment, as follows:

- Completing NRS functional levels
- Earning a GED
- Entering postsecondary education/training
- Meeting family literacy enrollment goal

The two employment-related indicators are not considered when determining incentives because the data match cannot be completed in time for awarding incentives. However, these indicators continue to be important in determining Kentucky's eligibility for federal Workforce Investment Act (WIA) incentive awards.

If the county's enrollment goal is met, providers are eligible for an incentive based on achieving a percentage of performance indicators as illustrated below. Performance incentive funding is based on a percentage of a county's level of core services funding. Programs such as corrections education, EL/civics and Workforce Alliance are not available in every county and are not a basis for performance incentive funding.

PERCENTAGE OF PERFORMANCE INDICATORS ACHIEVED	INCENTIVE (PERCENTAGE OF BASE FUNDING)
50 percent – 59 percent	5 percent
60 percent - 69 percent	6 percent
70 percent - 79 percent	7 percent
80 percent - 89 percent	8 percent
90 percent - 99 percent	9 percent
100 percent	10 percent

## **TIER 2 – PROGRESSING**

County programs that meet at least 90 percent but less than 100 percent of the enrollment goal and at least 50 percent of performance indicators are placed in Tier 2.

Counties in Tier 2 may opt to complete the Program Self-Review Guide. Program monitors progress through analysis of AERIN data.

### **TIER 3 – NEEDS IMPROVEMENT**

Programs are placed in Tier 3 based on one of two criteria: 1) The program met at least 90 percent of the enrollment goal but did not meet at least 50 percent of performance indicators for a single fiscal year or 2) The program met at least 50 percent of performance indicators but did not meet at least 90 percent of the enrollment goal for a single fiscal year.

Counties in Tier 3 are required to complete the Program Self-Review Guide and submit a program improvement plan. Programs may opt to attend program improvement strategies workshops.

Counties in Tier 3 for two consecutive fiscal years will be in Tier 4 in the third year.

### **TIER 4 – PRE-PROBATION**

Counties that fail to meet at least 90 percent of the enrollment goal and at least 50 percent of performance indicators for a single fiscal year will be in Tier 4 and will be notified of such in writing. Also, counties in Tier 3 for two consecutive fiscal years will be in Tier 4 in the third fiscal year.

Once a program is notified of pre-probation status, the following steps occur:

1. **Program Self-Review** – The program completes the Program Self-Review Guide, which includes indicators of program quality. The completed form is returned electronically to KYAE for review.
2. **Onsite Review** – A KYAE continuous improvement team conducts an onsite review guided by the results of the program's self-review and makes recommendations for improvement.
3. **Program Improvement Plan Development and Implementation** – Based on self-review and data, the provider develops a program improvement plan that addresses the key areas for improvement. Each goal area includes action steps, benchmarks and timelines. Within two weeks of the visit, the plan is submitted to KYAE electronically for review and comment. The program implements the plan.
4. **Required Training** – Programs are required to attend program improvement strategies workshops.
5. **Monitoring** – The program monitors progress through analysis of AERIN data.

### **TIER 5 – PROBATION**

Programs that fail to meet at least 90 percent of the enrollment goal and at least 50 percent of performance indicators for two consecutive fiscal years will be placed on probation.

Programs will be notified of probationary status by KYAE. A KYAE continuous improvement team will be assigned. Programs will be required to repeat steps 1-5 above.

Probationary programs not making sufficient progress by March 30 of the probation year are subject to contract termination.

### **NEW FISCAL AGENT TIER**

Programs with new fiscal agents are in the “New Program Tier” for the first fiscal year. Based on the program’s final enrollment and performance data for the first year, new programs will be placed in Tiers 1-4 in the second fiscal year.

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## Personnel

Personnel changes must be reported to KYAE within 10 days of changes. To report changes, update the latest personnel worksheet submitted to KYAE.

The following guidelines should be used to recruit and hire personnel and develop job descriptions. The minimum requirements for each title are mandatory. All new county program fiscal agents must ensure that all employees meet the minimum requirements for each title.

### **CLASS TITLE: Program Director**

**CHARACTERISTICS OF THE CLASS:** Provides program direction; plans, develops, implements and evaluates all aspects of program.

#### **EXAMPLES OF DUTIES:**

##### **Management:**

- Oversees the day-to-day operation of program.
- Initiates and facilitates change for continuous program improvement and capacity building.
- Understands, interprets and assures compliance with federal and state laws and regulations.
- Establishes procedures to meet performance measures for program accountability.
- Initiates program planning, develops goals and plans for meeting objectives.
- Provides leadership in development of curriculum, retention activities and other student services.
- Promotes safe work environment.
- Establishes procedures for collecting, documenting and reporting data and ensures accountability.
- Communicates regularly with staff and involves them in planning through a variety of formal and informal means.
- Oversees recordkeeping.

##### **Instruction:**

- Provides instruction in literacy, ABE/GED, ESL, workplace, family literacy and/or citizenship. Applies research-based instructional practices that incorporate the use of computers and other technologies.

##### **Personnel:**

- Assures appropriate program staffing.
- Supervises, observes and evaluates staff.
- Coordinates activities of instructional staff to ensure effective program operation.
- Assists staff in developing professional development plans.
- Promotes professional development opportunities and adheres to the professional development policy.

##### **Fiscal:**

- Manages fiscal resources and reports financial information.
- Identifies additional resources and initiates plans to secure them.
- Prepares and monitors all aspects of budget.
- Monitors contract compliance and cooperative agreements.
- Monitors and approves purchasing.

**Community:**

- Advocates and promotes adult education program within community.
- Builds partnerships to enhance the availability, quality and delivery of services.
- Participates in local organizations (P-16 councils, WIA boards, One-Stops, etc.).

**Leadership:**

- Models professional behavior and requires other staff members to act in a professional manner.
- Promotes the philosophy, goals and objectives of adult education at local, state and national levels.
- Promotes an environment in which cultural and philosophical diversity is valued and appreciated.
- Cultivates an atmosphere of respect for all staff and students.
- Provides instructional leadership by initiating and monitoring the process of curriculum development and supports instructional strategies based on research in adult learning and development.
- Recruits students to meet enrollment goals.

**Professional Development:**

- Participates in required professional development activities.
- Uses technology resources to engage in ongoing professional development and lifelong learning.
- Assesses personal strengths and weaknesses as a basis for developing a professional development plan.

**MINIMUM REQUIREMENTS:**

- All program directors hired after July 1, 1998, shall possess a minimum of a bachelor's degree.
- All new program directors hired after July 1, 2004, shall possess a bachelor's degree and three years of administrative/management experience; a master's degree can substitute for two years of the administrative/management experience. A bachelor's or master's degree in administration, education or a related field is preferred.

**CLASS TITLE: Instructor**

**CHARACTERISTICS OF THE CLASS:** Provides instruction to adult education students. Plans, implements, documents and evaluates instructional practices, procedures and materials. Directs and coordinates all aspects of a family literacy program. Provides direct, on-site daily supervision of instructor's aides.

**EXAMPLES OF DUTIES:****Instruction:**

- Provides instruction in literacy, ABE/GED, ESL, workplace, family literacy and/or citizenship. Applies research-based instructional practices that incorporate the use of computers and other technologies.
- Is knowledgeable of reading, writing and/or math instructional strategies.
- Uses a variety of instructional strategies and tools appropriate to the needs of the student; for example, Kentucky Virtual Adult Education, PLATO, WIN, WorkKeys, etc.
- Uses lesson plans that integrate instruction across content areas.
- Provides continuous feedback and adjusts instruction to maximize student learning.
- Works with colleagues to develop and evaluate curriculum and materials.
- Integrates work-, family- and community-related activities into instruction.
- Administers and interprets appropriate placement and diagnostic tests.
- Applies adult education principles and methods in the workforce classroom.
- Delivers instruction on workplace essential skills.
- Facilitates the transfer of learned skills from the classroom to the job.

- Uses job/task analysis (JTAs) in planning instruction and developing workforce education curricula.
- Incorporates SCANS skills in the workforce education instructional process.
- Plans learning experiences that are interactive and relevant to the specific workplace environment.
- Customizes and develops workforce education curriculum and lesson plans that facilitate transference from the classroom to the job based on the workforce goals and expected training outcomes.
- Provides PACT and parenting activities.
- Prepares lessons and plans instructional support activities carried out by instructor's aides.
- Evaluates the achievement of students with whom instructor's aides are working.

#### **Assesses and Monitors Learning:**

- Uses formal and informal assessment data to monitor and document student progress.
- Collects and manages accurate data for program improvement and accountability.
- Participates in the retention and follow-up of students.

#### **Classroom Management:**

- Maintains knowledge of program regulations, policy and procedures.
- Maintains student records.
- Supervises and monitors instructor's aides.

#### **Community:**

- Makes referrals to community agencies or postsecondary institutions as appropriate.
- Advocates literacy at the local and state level and explains the impact of under-education on employment and society.
- Assesses adult education needs and promotes program in community.
- Promotes use of community resources and participates in activities of other community agencies.
- Coordinates family literacy and collaborates with appropriate services and agencies.
- Integrates the four components of family literacy to create a comprehensive family literacy program.
- Recruits families and matches them with instructional staff.

#### **Professional Development:**

- Participates in required professional development activities.
- Uses technology resources to engage in ongoing professional development and lifelong learning.
- Assesses personal strengths and weaknesses as a basis for developing a professional development plan.

#### **MINIMUM REQUIREMENTS:**

- As of July 1, 1998, all new instructors shall possess a minimum of a bachelor's degree. A degree in education or a content-related field is preferred.

### **CLASS TITLE: Instructor's Aide**

**CHARACTERISTICS OF CLASS:** Works under the direct, on-site daily supervision of a qualified instructor. Assists qualified instructors in the delivery of instruction, support and related services.

#### **EXAMPLES OF DUTIES:**

##### **Instruction:**

- Follows directions of instructor and works as an effective member of the instructional team to ensure the success of all students.
- Carries out instructional support activities prepared and planned by instructor.
- Assists instructor in review and selection of instructional materials.

- Is capable of supporting reading, writing and/or math instructional strategies.
- Implements a variety of instruction methods as directed by instructor.
- Assists instructor in providing feedback to student and in checking for understanding of instructional goals.
- Is familiar with the instructor's teaching methods for individual and group activities and provides instructional support.
- Monitors and observes student behaviors and shares observations with instructor.

**Recordkeeping:**

- Assists in implementing, recording and monitoring student educational plan.
- Assists in administering, scoring and evaluating diagnostic tests.
- Assists in preparing student folders and maintaining records of student progress.
- Assists in collecting data for reports.

**Program:**

- Organizes, uses and maintains supplies, materials and equipment.
- Assists in providing non-instructional support for students and families.
- Understands community resources and discusses possible referrals with instructor.

**Professional Development:**

- Participates in required professional development activities.
- Uses technology resources to engage in ongoing professional development and lifelong learning.
- Assesses personal strengths and weaknesses as a basis for developing a professional development plan.

**MINIMUM REQUIREMENTS:**

High school diploma or GED. An associate's degree is preferred.

**CLASS TITLE: Clerk**

**CHARACTERISTICS OF THE CLASS:** Performs clerical functions and other duties as required.

**EXAMPLES OF DUTIES:**

- Collates, files and/or prepares documents and reports.
- Collects and enters data for reports.
- Maintains documents and reports.
- Audits reports for accuracy.
- Performs receptionist duties.
- Operates office machines such as copier, calculator, video terminal, microfilm or audio-visual equipment.
- Opens, sorts, prepares, sends and distributes mail.
- Assists in the security and maintenance of test materials.
- Performs basic bookkeeping duties such as counting receipts, bank deposits and payment vouchers.
- Follows established methods and procedures.

**MINIMUM REQUIREMENTS:**

- High school diploma or GED.

## **CLASS TITLE: Co-op Student/Intern**

**CHARACTERISTICS OF THE CLASS:** Performs general clerical functions and other duties as required; co-op students/interns may not be involved in data entry.

**EXAMPLES OF DUTIES:**

- Copies, collates and/or files documents.
- Performs receptionist duties.
- Opens, sorts, prepares, sends and distributes mail.
- Follows established methods and procedures.
- Orders and stocks supplies.

**MINIMUM REQUIREMENTS:**

- High school or college student.

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## Professional Development

Professional development is defined in 704 KAR 3:035 Section (2) (10) as “those experiences which systematically over a sustained period of time, enable educators to acquire and apply knowledge, understanding, skills and abilities to achieve personal, professional and organizational goals and to facilitate the learning of students.”

### PROFESSIONAL DEVELOPMENT PLANS

Every instructor, instructor’s aide and program director must complete an annual professional development plan. The PD plan should focus on professional learning and growth to support program improvement and student outcomes. All individual PD plans must be in “Active” status in PDtrack by **October 1**.

### PD REQUIREMENTS

KYAE assigns professional development units or PDUs determined by learning outcomes and not seat time.

#### NEW ADULT EDUCATORS

By the 25<sup>th</sup> month of employment, new adult educators must complete a specific set of [core requirements](#) and workshops as defined in the PD Handbook. *Language revised October 1, 2006. See [History of Changes](#).*

New educators hired after July 1, 2005, and before April 1, 2006, may complete the core requirements for 2005-06 or 2006-07. Instructors hired after April 1, 2006, will follow the core requirements for 2006-07.

#### EXPERIENCED ADULT EDUCATORS

- Staff employed an average of 20 hours or more each week must earn 8 PDUs annually.
- Staff employed an average of 19.75 hours or less each week must earn 2 PDUs annually.
- Less than 50 hours per year requires no PDUs.

KYAE-approved PD activities are listed in [PDtrack](#). To receive credit, participants must attend the entire session and complete any online assignments or required follow-up activities.

### **CLERKS**

Clerks involved in data entry must attend annual AERIN training but are not required to complete an annual PD plan.

### **ADDITIONAL PD REQUIREMENTS**

Each program must have personnel trained in the following:

- Kentucky Adult Educators Literacy Institute (KAELI) – All programs are required to have at least one KAELI trained instructor.
- Computer-based GED Official Practice Test (OPT)
- AERIN (annual training for staff assigned data entry)
- PDtrack
- KYAE Introduction to TABE

PLATO, WIN, BEST and CASAS training must be provided by a KYAE-approved trainer.

### **FISCAL GUIDELINES FOR PROFESSIONAL DEVELOPMENT**

Local providers shall comply with the travel policy of their fiscal agent. Fiscal agents without a formalized travel policy shall use the [state travel policy](#).

Funds allocated for professional development shall be used to support initiatives listed in PDtrack or approved in writing by KYAE's Professional Development Senior Associate.

Providers shall use the following guidelines:

### **REGISTRATION FEES**

KYAE funds are to be used for actual costs of registration, not to include memberships. Meals covered by registration fees are not reimbursable.

### **SALARIES**

Professional Development funds may be used to pay an instructor's salary while attending training.

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## Funding

Each Kentucky county is entitled to a base funding level determined by formula for core services and family literacy. County program providers are selected through a request for proposal process (RFP) determined by KYAE.

The Kentucky Adult Education Act of 2000 requires services to be targeted to communities with the greatest need; therefore, the funding formula is based on the number of adults in each county functioning at low literacy levels. Funding is distributed through grants to eligible organizations in every Kentucky county based on a request for proposal process determined by KYAE.

Adult education programs in counties with full-service jails must provide corrections education in these jails as recommended by the Kentucky Department of Corrections. The only exception to this requirement is in counties where the jailer states in writing that adult education services are prohibited. Counties required to provide services will receive corrections education funding. Because of federal restrictions on the funding dedicated to corrections education, programs cannot use core services funds to provide or supplement corrections education.

Workforce Alliance funds for workforce education projects are available through successful application pending the availability of funds.

English literacy/civics funding is available on a limited basis to adult education providers based on an RFP process determined by KYAE.

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## **Administrative**

### **FINANCIAL REPORTING**

Providers shall be reimbursed for reasonable, allowable and actual costs incurred if costs are specified in the contract. Providers must invoice on a monthly basis. Invoices are due on the 10<sup>th</sup> of each month; refer to the contract for end-of-the-year invoicing requirements. Failure to comply with these deadlines may result in payment being delayed or withheld.

Administrative expenses may not exceed 15 percent of the total amount invoiced for core services/family literacy or Workforce Alliance grants or 5 percent of the total invoiced for corrections education or EL/civics.

### **WORKING CAPITAL ADVANCE**

In accordance with the federal *Cash Management Improvement Act*, eligible providers that lack sufficient working capital may submit a written request for a working capital advance. The amount of the advance cannot exceed one quarter of the approved budget. Upon approval, the recipient of the advance must submit monthly invoices for cost reimbursement. If the total disbursement amount exceeds the actual costs incurred, the provider shall reimburse the Commonwealth.

### **EXPENDITURE REPORTS AND TIMESHEETS**

Providers shall use the KYAE-10 Expenditure Report Form and the TS1 timesheet. A separate expenditure report form shall be completed for each program (core services, corrections, workforce education, etc.) by county. For fiscal agents administering more than one county, a report shall be submitted for each county individually and summarized collectively by contract. KYAE-10 reports shall indicate the funding source to which expenditures are charged. Incomplete or incorrect KYAE-10 reports shall be returned to the provider and may result in payment being delayed or withheld.

### **BUDGET AMENDMENT REQUEST FORM**

Provider expenditures shall not exceed the line item allocations or budget total as specified in the contract. To make changes to the contract budget, providers must submit a Budget Amendment Request Form (page two of the Expenditure Report Form). To change a line item more than 10 percent, providers must indicate "amendment request" on the form. Written KYAE approval must be obtained before a provider may reallocate funds among line items. To change line item amounts by 10 percent or less, providers must submit the form and indicate the change as "realignment."

### **INVENTORY REPORTING**

Providers shall submit an annual Inventory Report (INV-1) by August 31 of each year and list all purchases made during the previous contract year of non-consumable items with a useful life greater than one year.

### **RECORDS**

Providers shall retain all records and accounts that relate to KYAE grants for a period of three years from the close of the grant and shall make those records available for inspection and audit by KYAE or an authorized representative.

### **DATA COLLECTION AND REPORTING**

Providers are required to submit data electronically using the management information system. Failure to comply with the following deadlines may result in the withholding of payment:

- County adult education providers shall submit student data (for example, enrollment, goal attainment) by the 10<sup>th</sup> of the month for the previous month.
- Daily student contact and attendance hours shall be entered at least monthly by the 10<sup>th</sup> of the month for the previous month. NRS defines [contact and attendance hours](#) as “hours of instruction or instructional activity the learner receives from the program. Instructional activity includes any program-sponsored activity designed to promote student learning in the program curriculum, such as classroom instruction, assessment, tutoring or participation in a learning lab. (Note: Time spent on assessment can be counted only if the assessment is designed to inform placement decisions, assess progress or inform instruction. Time used to take the GED test, for example, cannot be counted as instructional activity.)”
- Providers shall update all separations by the last day of the quarter (September 30, December 31, March 31 and June 30).
- Final program year data shall be entered into AERIN by July 10.

KYAE regularly updates the AERIN Users' Manual and the KYAE Policy and Procedure Manual to incorporate NRS changes. Updates on system changes and revisions to the Users' Manual are announced and posted on [KYAE's Web site](#) and through e-mail.

New AERIN users are required to complete a training session prior to being issued a user identification number.

## **TECHNOLOGY**

Fiscal agents shall provide technical support for maintenance of hardware and network.

County programs must have at least one site with technology and connectivity to offer curriculum and related learning products available on the Internet.

Providers are required to have access to the World Wide Web, KYAE's Web site ([www.kyae.ky.gov](http://www.kyae.ky.gov)) and e-mail services via a dedicated line.

All program directors and full-time instructors shall have an individual e-mail address.

## **EQUIPMENT AND SUPPLIES**

Providers must have appropriate assessment and instructional materials to meet the needs of their students. The assessment instruments shall be kept in a secure environment according to vendor requirements.

Any non-consumable items purchased with adult education funds shall revert to Kentucky Adult Education at the end of the project or at program closure.

## **FACILITIES**

Facilities housing adult education programs shall:

- Be in compliance with the Americans with Disabilities Act of 1990.
- Have posted hours of operation.
- Have appropriate exterior signage identifying the state and federal funded programs.
- Provide a safe learning environment.
- Provide an age appropriate setting.

Programs providing adult education services shall:

- Offer students flexible schedules and support services.
- Provide at least one site with technology and connectivity to offer curriculum and related learning products available on the Internet.

## **COST FOR FACILITIES**

State and federal funds are to be used for program services. Fiscal agents are encouraged to seek donated or in-kind space in order to provide maximum resources to the students. If lease expenditures are necessary, they shall meet the definition of reasonable as defined in federal circulars (A-87, A-122 and others) as applicable.

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